



Small Business Express Program – List of Required Documents to Initiate an Application

- ☐ **One-page Small Business Express Program Application** (Online version or paper version with date)
- ☐ **Ownership:** (submit as a separate sheet)
 - ☐ **1.** List of individuals with an ownership interest in the business: (for each) full name, title and address
 - ☐ **2.** Federal Employer Identification Number (FEIN) and Social Security Number(s)
 - ☐ **3.** % of ownership of the business for each owner (e.g., each member of the LLC, all board of directors)
 - ☐ **4.** Identify the % of the business that is owned by women, if applicable
 - ☐ **5.** Identify the owners of ethnic minority, if applicable
 - ☐ **6.** Identify the owners with honorable U.S. military discharge and/or active duty status, if applicable
- ☐ **Company Status:** (submit under separate cover; give explanation for each response that is “yes”)
 - ☐ **1.** Does the applicant have any delinquent local, state, federal taxes?
 - ☐ **2.** Do any owners/officers have any personal tax issues?
 - ☐ **3.** Has the applicant or its owners ever filed bankruptcy?
 - ☐ **4.** Has the applicant or its owners ever been convicted of a felony?
 - ☐ **5.** Are there any outstanding, pending/anticipated litigation, environmental, OSHA or other issues?
 - ☐ **6.** Has the applicant received prior state assistance from other government agencies or departments?
- ☐ **Additional Information:**
 - ☐ **1.** Applicant Structure Documentation:
 - ☐ **a.** Secretary of the State or notarized trade name certificate with date of business registration,
 - ☐ **b.** Articles of Incorporation (corporation) or Articles of Organization (LLC), **AND**
 - ☐ **c.** By-Laws (corporation) or Operating Agreement (LLCs, LLPs, partnerships,...);
 - ☐ **2.** Exhibit A Schedule of Existing Employees **AND** Exhibit B Authorization for the Release of info;
 - ☐ **3.** Brief Business Plan; **AND**
 - ☐ **4.** Brief Project Description, Use of Funds Request: See procedures for eligible uses, and include list of the existing and new positions to be created, with hours worked per week and wage/salary rate; **AND**
 - ☐ **5.** Project Financing Plan & Budget; **AND**
 - ☐ **6.** Schedule A - Salaries; **AND**
 - ☐ **7.** Company financials:
 - ☐ **a.** Last three fiscal years of accountant-prepared financials, including notes. **OR**
 - ☐ **b.** The following financial reports for company and owners:
 - ☐ (1) Copies of the last three years of filed income tax returns; **AND**
 - ☐ (2) internal financials for the most recent fiscal period (e.g., January 1 to December 31, 2013):
 - ☐ **i.** balance sheets,
 - ☐ **ii.** profit & loss statements,
 - ☐ **iii.** cash flow statements; **AND**
 - ☐ (3) any information that helps to explain the current financial condition (such as copies of loans payable, real estate purchase agreements, machinery/equipment purchase agreements, information on summary of pending legal actions and the monetary value in questions, etc.)
 - ☐ **8.** Employment levels—Connecticut Department of Labor forms:
 - ☐ **(a)** UC-2 Employer Contribution Return **AND** **(b)** UC-5A Employee Quarterly Earnings Report
 - ☐ **9.** Does this company export outside the USA? Y / N Provide a Strategic Export Plan (if applicable)

DECD may request more information to assess the accuracy and viability of the proposals and/or to fund at levels other than requested.